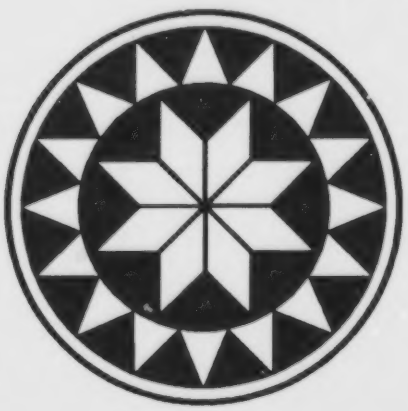
First Nation
Self-Evaluation of Community Programs

A Guidebook on Performance Measurement



First Nations Working Group on Performance Measurement

and

Departmental Audit and Evaluation Branch,
Department of Indian Affairs and Northern Development

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Open Letter To: ***First Nation Members, Leaders and Program Administrators***

From: ***The First Nations Working Group on Performance Measurement***

This guidebook is about First Nations developing our own approaches to evaluating how well community programs are achieving community goals. The guidebook presents ideas and options for First Nations to consider in developing self-evaluation tools that reflect our unique communities, traditions and priorities.

In presenting this guidebook, we are building upon the experience of First Nations that have conducted self-evaluations of education and other programs. In our experience, evaluations can provide useful feedback to the membership, to the leadership and to program administrators to help design and deliver programs that address community priorities.

Self-evaluation is about measuring the real impacts of community policies and programs. This information can be used to continually improve policies and programs to effectively and efficiently achieve community objectives.

Our Working Group directed the development of this guidebook in a collaborative effort between our First Nations and DIAND. We wish to thank the Departmental Audit and Evaluation Branch (DAEB) DIAND for its assistance in preparing the guidebook.

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Introduction

Background

First Nations have taken on increased responsibility for community programs. To effectively manage these programs, First Nation administrators need good information to determine how well their programs are performing. To what extent are they meeting community goals and priorities? Can programs work better for the First Nation? At the same time, First Nation citizens expect their governments to account for their achievements by reporting regularly to the membership.

In looking at current accountability practices, many First Nations in Canada have observed that:

- First Nations want to define success in their own terms, based on their own priorities;
- First Nations' external accountability relationships with funding agencies often do not serve their internal management and accountability needs; and
- Current internal and external reporting practices tend to focus on how resources are allocated, rather than on what is being achieved.[1]

This guidebook was developed to address these issues. Five First Nations and one Indian Regional Council are driving the process to develop tools that meet their requirements, in partnership with the Department of Indian Affairs and Northern Development (DIAND) which is providing technical and financial support.

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[1]Auditor General of Canada, *Study of Accountability Practices from the Perspective of First Nations*, 1996.

Purpose of this Guidebook

This guidebook serves to:

1. Present the benefits of using performance measurement as an internal program management and accountability tool;

2. Identify the key elements of a framework for measuring and reporting on the performance of community programs; and

3. Provide ideas, alternatives, and practical tools to support First Nations that want to develop their internal framework for measuring performance and accounting for results.

The guidebook should be used together with the extensive available literature on performance measurement and accountability. Some useful references are provided in the toolkit.

Who Should Use this Guidebook?

This guidebook is intended to assist:

- **Chiefs and Councils** who want to direct the development of a community program performance framework for their First Nation;

- **Program administrators** who are tasked with evaluating the performance of the programs and services which they deliver;

- A **steering committee** and **project coordinator** who would manage the process to develop the First Nation's community performance framework; and

- **First Nation members** who are interested in participating in the project.

Structure of the Guidebook

Chapter 1 discusses **why** a First Nation may consider developing a community program performance framework;

Chapter 2 describes **what** are the features of good performance frameworks;

Chapter 3 shows **how** to develop one in a step-by-step process; and

Chapter 4 contains optional **tools** to support the process of developing a community program performance framework.

1. Why Measure Performance?

This chapter of the guidebook discusses why the self-evaluation of community programs can be a useful tool for First Nations program management and accountability. The chapter explains what a community program performance framework is and how it supports a First Nation's program management and accountability systems.

What is Performance Measurement?

Performance measurement is the ongoing process of measuring how well a particular program is achieving the **goals** that were set for it. In First Nations, community programs are increasingly being designed to achieve specific goals determined by the community.

Goals are often expressed in terms of real **results**. What goods and services were delivered, and what impact did they have on people and the environment in which they live?

More and more, First Nations are developing their own definitions of what results they are looking for and what makes a program a "success." First Nations own criteria of success should be used to measure the performance of community programs.

The move towards measuring the **results** of community programs often involves a shift in program management. In the past, most program management systems were set up to fairly allocate resources among various activities, based on priorities. What was missing was good feedback on whether the programs were successful in reaching their goals. Today's **results-based** program management systems use self-evaluation and performance measurement to give feedback on what was achieved, to support continuous improvement.

While performance is usually measured in relation to a particular program, it is important to keep a "big picture" understanding of the **overall** impacts of many programs being delivered in a community. For this reason, this guidebook suggests that First Nations self-evaluate community programs on the basis of an overall **performance framework**. A performance framework allows a community to look at the impact of its programs on the community as a whole.

By way of definition, a **community program performance framework** is a document which puts a variety of performance measures into a single, coherent measurement system. In a First Nations context, a performance framework is a tool to define:

- what practical **results** the First Nation administration is working to achieve;
- how the achievement of results will be **measured**; and
- what results will be **reported** regularly to community members.

What Does a Program Performance Framework Do?

A performance framework can be used by a First Nation to:

- **focus** on priority goals;
- **define** the criteria that will be used to measure success;
- **monitor progress** toward goals;
- **identify opportunities** for making improvements; and
- **report** to community members on the results achieved.

In summary, a performance framework serves two main purposes:

1. To support **effective management** of community programs; and
2. To support **accountability** to community members.

These purposes are described in the following two sections.

A Tool for Management

First Nations manage many community programs for their members. The broad range of program areas includes social services, education, health services, housing, capital works, economic development, and others.

Program administrators know what results their programs are trying to achieve. Together with Chief and Council, program administrators have a direct stake in defining what constitutes success for community programs, and in monitoring the achievement of success. By monitoring program performance, administrators are in a better position to adjust program activities to ensure their effectiveness.

For program administrators and the community leadership, a performance framework provides an ongoing opportunity to:

- **Build consensus** around clear goals and targets for performance of First Nation community programs. A framework helps clarify expectations around what goals are practically achievable with the resources available.

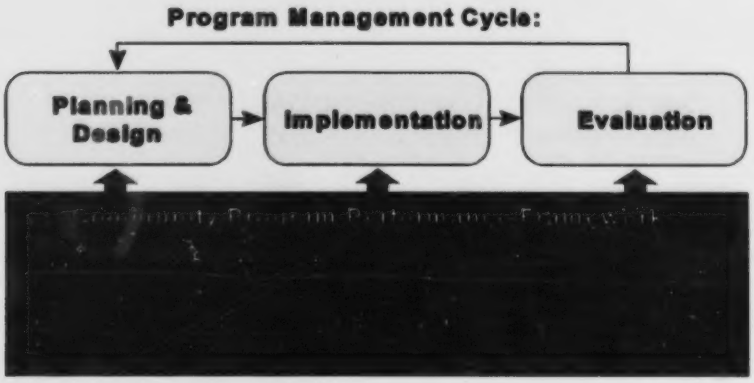
- **Strategically focus** the First Nation's financial and human resources on achieving priority goals. A results-based framework empowers managers to find innovative and efficient means to achieve goals.

- **Obtain regular feedback** on progress toward goals. A framework sets out what data will be collected to measure progress. It focuses on results from the membership's point of view, because their needs as constituents and clients come first.

- **Identify improvements** that can be made. A framework facilitates a responsive program management cycle, in which lessons learned from past experience feed into new approaches. Weak performance presents an opportunity to find better

alternatives. And good performance can be recognized, rewarded and reinforced.

A performance framework supports the ongoing cycle of program management. The following diagram illustrates the phases of program management and the key roles performed by a performance framework.



A framework feeds into all phases of program management, from planning and design through implementation to evaluation. It supports effective feedback throughout the cycle by providing an agreed structure for what performance information will be collected and what will be reported.

A Tool for Accountability

Among the diverse traditions of First Nations, there are a variety of customs and practices for ensuring the *political* accountability of First Nations leaders to the membership. Elections, traditional governing practices, and open community meetings are some examples.[2] A program performance framework does not change the fundamental *political* accountability relationship between the leadership and members.

However, a performance framework does change how *program* or *administrative* accountability works within a First Nation. A framework can help establish a constructive, responsive accountability relationship on the basis of ongoing feedback among community members, leaders, and program administrators. A performance framework helps:

- **Demonstrate commitment** of the First Nation to making progress on community priorities. A framework is a living document, used and updated on an ongoing basis to reflect current priorities and targets.

- **Report to constituents** on achievements, so they can make informed judgements about how well things have been done.

The role of a performance framework in supporting accountability is illustrated in the following diagram.

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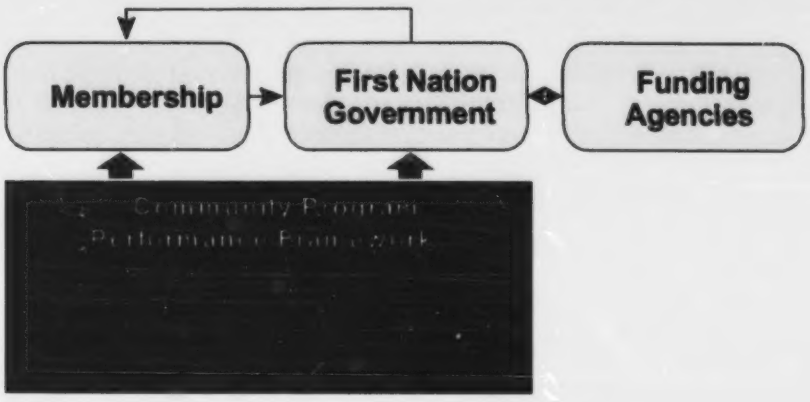
[2]Royal Commission on Aboriginal Peoples (RCAP), *Restructuring the Relationship*, Volume 2, Part 1, Chapter 3.

First Nation Program Accountability Cycle:



An accountability system is the whole range of practices, policies, procedures, etc. that a government uses to ensure its accountability to the citizens that elect it. Program performance reporting is one key component of an accountability system. At the same time as it develops its performance framework for *program* or *administrative* accountability, a First Nation may be interested in articulating its other accountability components (political accountability and financial accountability). This presents an opportunity to ensure that the various accountability components work together.

Drawing from the work of the Royal Commission on Aboriginal Peoples, the following box summarizes accountability components that a First Nation may consider to be part of its overall accountability system. Some of these components may already be in place in a First Nation, while others may be identified for inclusion in the future.

Examples of Accountability Components

Performance Reporting:

- ☐ Annual Program Performance Report
- ☐ Annual Financial Report
- ☐ Annual Strategic Plan or Operating Plan
- ☐ Occasional detailed program evaluation studies

Policies and Procedures:

- ☐ Program Policies
- ☐ Administrative appeal/grievance procedures
- ☐ Financial Administration Policies
- ☐ Conflict of Interest Guidelines
- ☐ Code of Ethics
- ☐ Elections Code
- ☐ Community Consultation Procedures
- ☐ Access to Information Procedures

Roles and Responsibilities:

- ☐ First Nation Government Organization Structure
- ☐ Chief and Council Portfolio Responsibilities
- ☐ Job Descriptions
- ☐ Committee Mandates

As discussed by the Royal Commission, accountability processes may mirror Aboriginal governing traditions and may also replicate accountability measures common to Canadian governments such as those listed above. This and other accountability perspectives from the Royal Commission are reproduced in the following box.

Perspectives from the Royal Commission on Aboriginal Peoples (RCAP)

"... Aboriginal people have recognized that establishing mechanisms for government accountability and responsibility must go hand-in-hand with the autonomy that these governments will enjoy under self-government and associated fiscal arrangements. Aboriginal governments must be able to demonstrate to their citizens that they are exercising authority and managing the collective wealth and assets of the nation and administrative structures in a responsible and open manner." (RCAP, Vol. 2, p.345)

"At the level of administration, reporting systems and lines of accountability to external agents such as DIAND are time-consuming and complex and divert the energies of Aboriginal service providers away from delivery responsibilities. These arrangements have created a situation where Aboriginal governments are more responsive to external agencies than to community members." (RCAP, Vol. 2, p.346)

The First Nation public service will become increasingly professionalized "...as accountability regimes shift responsibility and reporting relationships toward the people served and away from remote, non-Aboriginal governments." (RCAP, Vol. 2, p.339)

"Accountability mechanisms normally include reporting requirements regarding how government spends public funds, a code of ethics for public officials and conflict of interest guidelines and enforcement mechanisms. The goal of such mechanisms, and of accountability regimes generally, is to maintain public confidence in the integrity of government, to uphold high standards in public service and to encourage the best people in the community to present themselves for public office." (RCAP, Vol. 2, p.347)

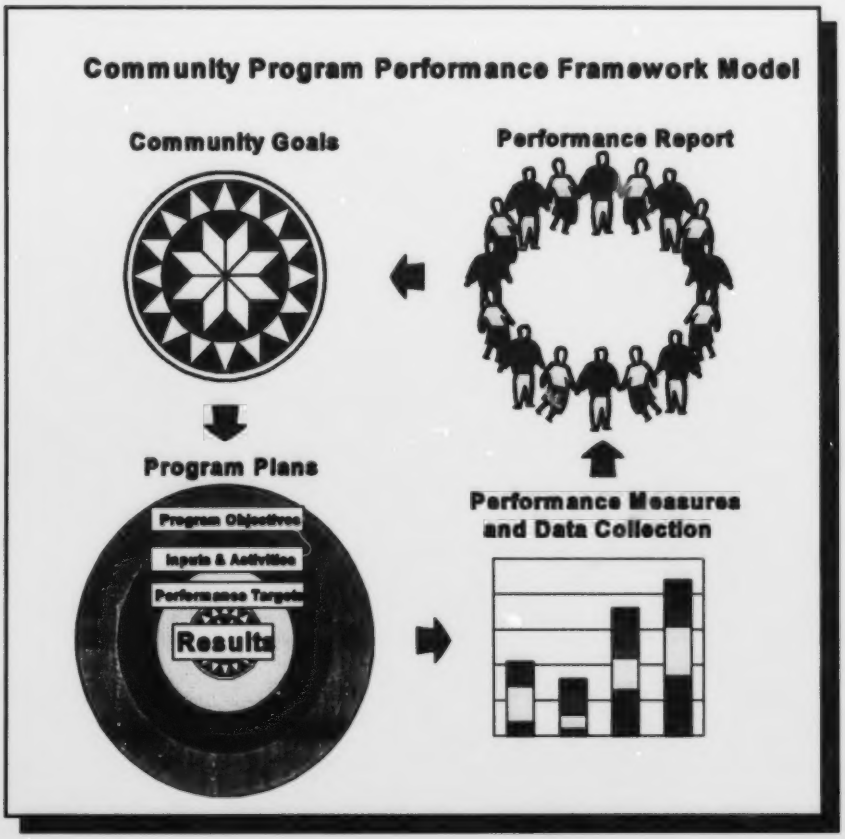
"Accountability of Aboriginal nation government will be determined primarily by processes rather than by structures and institutions. Such processes may mirror Aboriginal governing traditions. They may also replicate accountability measures common to Canadian governments. For example, these might include:

- ☐ financial and operational reporting regimes (possibly based on statutes);
- ☐ clear and transparent administrative policies, procedures and operations (including administrative decision-making procedures);
- ☐ a code of ethics for public officials;
- ☐ conflict of interest laws or guidelines;
- ☐ access to information procedures;
- ☐ the development of communication systems to keep citizens informed; and
- ☐ the establishment of procedures to deal with individual or community grievances." (RCAP, Vol. 2, pp.260-261)

2. What Makes a Good Performance Framework?

This chapter of the guidebook presents the core concepts of performance measurement. A model for a "community program performance framework" is presented. This model shows how a framework links community goals, program plans, performance measures and performance reporting. Each component of the framework is described under a separate heading in this chapter.

Once a framework is established it can be further developed and refined over several years. Sustained leadership commitment is critical for success.



Definitions

The principles of performance measurement are well established. However, some of the terminology has been used differently by various practitioners. For the purposes of this guidebook the following definitions will be used.

Term	Definition	Examples
Community Goals	Community goals are the First Nation's vision for the community. They are the short, medium and long term changes that will be sought and measured.	"Over this decade, we will work to significantly improve the health status of members."
Program Plans	A program plan is a planning tool showing the logical connections between a program's objectives, inputs, activities, targets and results. They are also called program "logic models".	"Social Development Program Plan"
Program Objectives	Program objectives are the goals for a particular program.	"Well educated students"
Inputs	Human, financial and capital resources allocated to a program activity	Employees, budget allocations, buildings, lands, equipment, etc.
Activities	Program activities are the various actions to deliver a program, as set out in policies and procedures.	"Counselling" "Classroom teaching" "Road maintenance"

Term	Definition	Examples
Results	**Outputs** are one type of result. They are the goods and services provided through First Nation programs.	"In the past year, the social program assisted 25 members to complete a total of 312 person-weeks of training and career placement programs."
	Outcomes are another type of result. They are the real impacts of First Nation community programs on the lives of community members and the environment (physical, economic, social, cultural) in which they live.	"In the past year, as a result of training and career placement experiences, 15 members secured jobs (5 full-time, 10 seasonal) that they are satisfied with."
Performance Targets	Performance targets are commitments to attain certain program results in a specified time period.	"This year, we are targeting construction of 8 new homes which will reduce the housing needs backlog by 10%."
Performance Measures	Performance measures are observable factors that are measured over time.	"Individuals' self-rated health status in terms of well-being and functional abilities" "Number of successful job placements resulting from training and career programs." "Reduction of housing needs backlog."
Performance Report	A verbal or written communication to members on the achievements of First Nation programs	"First Nation Annual Performance Report"

Community Goals

The first step in developing a community program performance framework is articulating community goals. Goal-setting is an inherently political process under the direction of the First Nation leadership, taking into consideration the views of administrators and First Nation members. In consultation as appropriate, a "vision" is developed over time in light of changing opportunities and constraints.

By articulating a small number of community goals, the leadership can focus the energy of staff on making progress in key areas. This leadership commitment to attain priority goals is critical for an effective performance framework.

Community Development Wheel

One example of a holistic approach to articulating a community vision is the work of the First Nations Development Indicators project in the early 1990's. The project recognized that community development planning should be an integrated process focussing on the priority goals to be achieved. The project adapted the medicine wheel to represent the four components of healthy communities: social, spiritual/cultural, economic, and

political/organizational, all focussed on the overall vision of "healthy individuals and community." It is illustrated by the "community development wheel" which some First Nations have used to help define their goals.[3]

Alternately, community goals can be based on the current program structure of a First Nation. This can be illustrated using a "Community Programs Wheel."

Community Programs Wheel

The community programs wheel shows the connection between the objectives of individual programs and the overall set of community goals. Often, several programs may contribute toward achievement of a single community goal. The community programs wheel makes it easier to think of community goals in a holistic manner, to ensure that the various program objectives are consistent with each other.

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[3]Development Indicator Project Steering Committee, *Using Development Indicators for Aboriginal Development*, September, 1991.

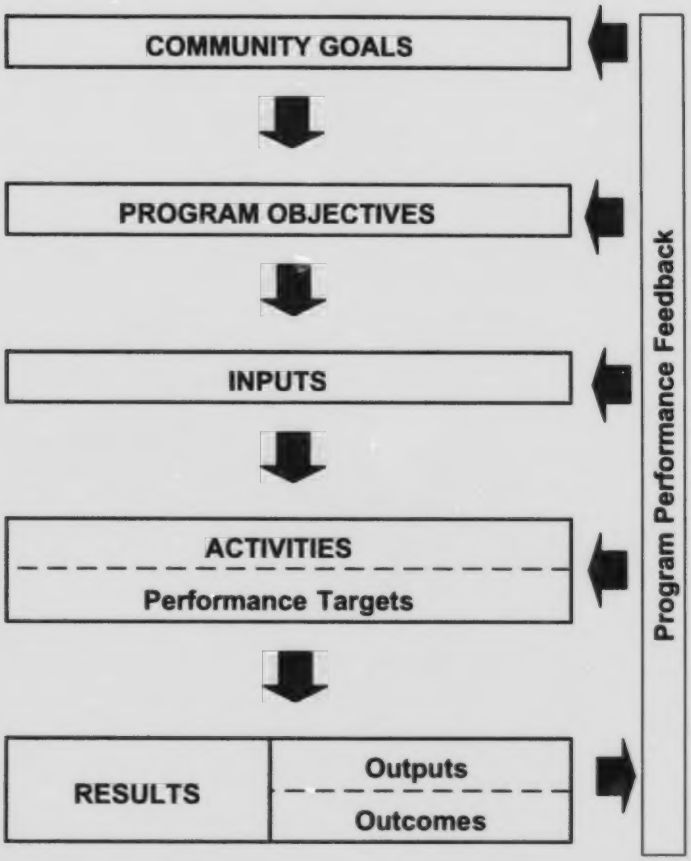
Program Plans

A useful tool for developing a community performance framework is the "program plan." As defined earlier, a program plan shows the logical links among a program's objectives, the inputs and activities to achieve those objectives, the performance targets, and the intended results in terms of outputs and outcomes. They are often called "logic models" when used in program evaluation studies.

Program plans are useful because they focus attention on the key results to be achieved by each program. On the basis of a clear understanding of the desired results, it is then possible to develop appropriate performance measures.

The components of a program plan are shown in the diagram on the following page.

Program Plan (or "Logic Model")
Example # 1

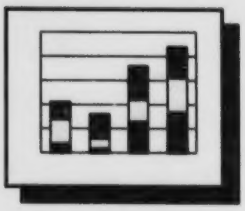


To develop a community performance framework, program plans should be written for several key program areas. Program plans provide a solid foundation for developing performance measures, and also present an opportunity for building consensus among a First Nation's leadership, membership and administrators on what goals are practically achievable.

A program plan or logic model can also be illustrated using a circular diagram which focusses all community programs on the desired results.

Program Plan (or "Logic Model")
Example # 2

Performance Measures



Performance measures are developed to monitor progress toward a First Nation's goals. Measures describe what was expected to happen and what was achieved. They should provide good performance information which allows people to judge how well the goals are being met and to plan for the future. They should also be put in a context, or a "story," so people can understand the reasons behind the results, whether positive or negative. On this basis, programs can be adjusted to achieve the best results.

Good performance measures go beyond a "numbers game." If measures were merely numerical, they would risk oversimplifying, and not being seen as credible or useful. Good measures put performance in the big picture context of what is trying to be achieved, how and why.

The characteristics of good performance information are summarized in the following table.[4]

	Characteristics	Description
✔	Credible	Individuals believe in the results
✔	Useful	Timely, relevant information that can be used to make decisions
✔	Easily Understandable	Clear and consistently defined information which is put in context
✔	Attributable	Information which reliably links causes to effects
✔	Accurate	Verifiable information
✔	Balanced	Objective information that reports both strengths and weaknesses

[4] Adapted from: Report of the Commissioner of the Environment and Sustainable Development to the House of Commons, *Performance Measurement for Sustainable Development Strategies*, 1998, Ch. 8, pp. 8-17, and Appendix 1.

Where possible, performance measures should reflect these characteristics. However, it takes time to develop an effective set of measures. Experience of other organizations has shown that it is usually best to begin by developing a performance framework with a few key measures. Over time, additional performance measures can be developed.

There are many types of performance measures. The following table provides some of the types along with specific examples.

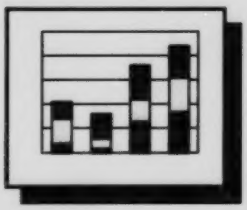
Measure	Types	Examples
Input measures	Financial Resources	Dollars expended on a program activity
	Human Resources	Staff allocated to a program activity
Output measures	Quantity produced /delivered/served	Number of clients served per month
	Quality of service	Achievement of standards for service delivery
	Client satisfaction	Percent of clients satisfied with product and service delivery
	Efficiency	Average cost per unit delivered
Outcome measures	Short term	Number of person-weeks of training and career placement programs completed.
	Medium term	Number of successful job placements resulting from training and career programs
	Long term	Individuals' self-rated health status in terms of well-being and functional abilities
	Financial	Return on investment

In choosing measures, it should be remembered that there are few measures which are perfect. When coming up with a final set of measures, one should be aware of the limitations and assumptions associated with each possible measure.

It is also important to develop an appropriate number of performance measures. Too many measures might overwhelm people with unnecessary details. On the other hand, too few measures might not provide a balanced picture of progress toward achievement of goals.

Whichever measures are chosen, it is good to keep a core set of measures which are maintained over time. This will allow comparability between past and present performance. The core set of measures can be built on over time through a process of continuous improvement. And measures which are no longer relevant or useful may be discarded.

Results Data to be Collected



Each performance measure is supported by data collected on an ongoing basis. A performance framework specifies what data will be collected, how often, who will do it, and how it will be used.

First Nations program administrators currently collect a substantial amount of data. Given the cost in time and resources to collect this data, it is important that it serve First Nation information needs. The cost of data collection should be in line with the usefulness of the information.

As a first step, it is easiest to build performance measures on data that is already being collected. However, additional data collection may become necessary to get more complete information on progress toward community goals.

This guidebook emphasizes the aspect of ongoing data collection. Ongoing data collection provides program administrators with the most timely feedback from community members, using surveys, discussion groups or other feedback mechanisms. With this timely feedback, programs can be adjusted to better achieve their objectives.

As a supplement to ongoing feedback, many First Nations have conducted detailed studies of program effectiveness, such as program self-evaluations. Self-evaluation studies take a comprehensive look at how well a program or policy is working, as well as specific recommendations for improvements. These more in-depth studies are usually conducted on an occasional or periodic basis (e.g., every five years). For example, First Nations conduct school self-evaluations and child and family services self-evaluations, for which tools are available.[5]

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[5]Departmental Audit and Evaluation Branch, *Elementary-Secondary School Evaluation Guidebooks*, DIAND, 1990. Departmental Audit and Evaluation Branch, *Self-Evaluation Guide - First Nations Child and Family Services*, 1993.

Often, the performance measures developed for a detailed program evaluation study can be adapted for use on an ongoing basis. By adapting the performance measures from program evaluation studies, better data collection systems can be developed over time.

Performance Targets

Ultimately, each performance measure should have a corresponding target. Targets answer the question: "how big a change do you hope to see in the future?" They are commitments to attain certain results in a specified time period. They should directly reflect the progress to be made toward priority goals.

Targets are generally presented as numbers, percentages, or as subjective measures (e.g., "significant," "very satisfied"). They should be realistic, challenging, but not over-ambitious. They should indicate the potential for improvement. This information might include: the current level of performance for the measure; the priorities of the community and/or program; and the human and financial resources dedicated to it. In addition, information from comparable jurisdictions can provide guidelines for reasonable targets.

Because a variety of factors affect the ability to deliver desired improvements, targets can not always be set as incremental advancements over the previous year. Rather, they should aim to be the maximum improvement which could be achieved in the time frame, in light of the capacity to deliver.

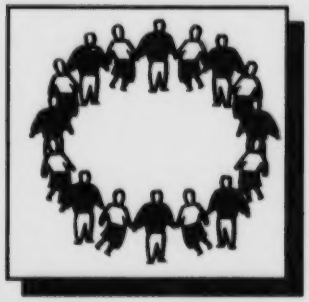
Targets are usually set by program administrators as part of their quarterly or annual work (or strategic) planning processes. They can also be devised in consultation with First Nation leaders and/or community members.

These targets are a key component of a results-based performance framework. They serve to make the framework a useful, "living" document because they will change as shifts in priorities and resource levels occur, and as efficiency in the provision of programs and services increases.

The following table shows examples of performance measures and some corresponding performance targets.

Sample Performance Measure	Sample Performance Target
Reduction of housing needs backlog	"This year, we are targeting construction of 8 new homes which will reduce the housing needs backlog by 10%."
Number of new jobs created	"Fifteen new jobs will be created this year through the infrastructure program"
Percent of individuals on social assistance participating in work placement programs	"This quarter, we anticipate that 15% of social assistance recipients will be participating in work placement programs"
Individuals' self-rated health status in terms of well-being and functional abilities	"This year we will provide health counselling to one-third of community members. This program is intended to have a long-term impact on their health status, rated through periodic surveys."

Performance Report



A good performance report presents more than just data. It presents an analysis of what the results mean, and potential strategies for improving performance. A performance report should seek to reflect the characteristics of good performance information discussed previously.

There are several ways in which to analyse results. Graphical tools such as pie charts, bar charts or other diagrams are often helpful. These are usually accompanied by an explanation giving the context for what the results actually mean. On this basis, people will be able to judge for themselves how well goals are being met . They will also be in a better position to contribute to planning about how the First Nation's goals can best be achieved.

First Nations may wish to communicate results to their membership in a variety of ways, such as:

- a periodic written report (e.g., annual performance report);
- a verbal presentation (e.g., slide presentation at a community meeting); and
- letters, articles in newsletters, or presentations on radio.

The form of the performance report will reflect the particular accountability practices of a First Nation.

3. How to Develop a Community Program Performance Framework

This chapter outlines a step by step process for a project to develop a community performance framework. The framework would identify key performance measures, what data will be used in measuring, and what will be reported to the First Nation membership. A variety of options are presented for First Nations to consider in developing their own approaches.

Overview of Steps

Phase I **Project Planning and Organization**

1. Consultation with First Nation Leadership
2. Project Organization
3. Engage Technical Assistance
4. Develop Consultation Plan

Phase II **Framework Development**

5. Gather Information
6. Articulate Community Goals and Program Plans
7. Develop Performance Measures
8. Develop Plan for Ongoing Collection of Results-Based Information
9. Set Performance Targets
10. Develop Reporting System
11. Draft Community Program Performance Framework

Phase III **Implementation**

12. Consultation and Finalization of Performance Framework
13. Implementation

Phase I: Project Planning and Organization

Step 1: Consultation with First Nation Leadership

The **First Nation leadership** must be at the centre of decision-making about the framework development process. While Chiefs and Councillors may delegate most tasks to a project coordinator and steering committee, it is critical that they be kept informed during the process. They can discuss and set out the appropriate **roles and responsibilities** for the project.

See Tool #1: Roles and Responsibilities
Page 57

A first step is to identify a **project coordinator** to manage the process. It is important to have a good communicator and consensus-builder in this role.

The coordinator will depend on a support team. This can be provided by a project **steering committee** set up to advise the project coordinator. Another important role for steering committee members is to report back to Chief and Council, to the Executive Director and Staff, and to First Nation members on the progress of the project. For this reason, a small committee including one Councillor, one Program Administrator, and one other representative (e.g., an elder or other community representative) is recommended.

Together, the coordinator and steering committee should develop a **Terms of Reference** for the project. The Terms of Reference clarifies the purpose, scope, and general parameters for the project. Chief and Council should be consulted during development of the Terms of Reference. Once Chief and Council have approved the Terms of Reference, the project can be launched.

See Tool #2: Terms of Reference
Page 61

Step 2: Project Organization

A **workplan** is a useful tool to clarify all the steps required to develop a framework. All key elements of the process should be included along with estimates of the time necessary to complete them.

See Tool #3: Workplan
Page 63

The project coordinator may also consider developing a **project budget** and **communications plan**.

Step 3: Engage Technical Assistance

Professionals in the field of performance measurement may be engaged to provide technical advice and to carry out as much of the work as desired. To ensure that the framework will meet the First Nation's information needs, consultants must be familiar with the First Nation context. They can test the relevance and reliability of alternative performance measures, as well as provide perspectives from other organizations. Opportunities for transferring consultant's skills to First Nation members should be maximized.

The project coordinator directs the work of a consultant on the basis of a **Statement of Work**. The Statement of Work is a contract that describes the project and what is expected from the Contractor. The steering committee may request one or more consultants to submit a proposal for how they will meet the requirements in the Statement of Work.

See Tool #4: Statement of Work
Page 67

Upon engaging a consultant, the steering committee would meet periodically with the consultant, to provide input and monitor progress. The project coordinator should be in frequent contact with consultants to ensure that the products will meet the First Nation requirements.

Step 4: Develop Consultation Plan

A consultation plan lays out how the various stakeholders will be involved in development of the performance framework. Interviews may be conducted with First Nation leaders, administrators, and community members in order to ensure that the framework reflects their various information needs. Discussion groups and community meetings are other options. The consultation plan lays out what questions will be asked of each the various stakeholders.

See Tool #5:
Consultation Plan
Page 73

Phase II: Framework Development

Step 5 Gather Information

In this step, the interviews, document reviews and other activities identified in the consultation plan are carried out. The main options for gathering the information are:

1. Document Review

A great deal can be learned about current performance measurement activities by examining available written materials (e.g., reports, newsletters, program files, meeting minutes, computerized databases). A document review could look for the following information:

See Tool #6: Document Review Guide
Page 77

- statements of First Nation community goals;
- statements of program objectives;
- program inputs and activities;
- current data collection systems;
- current reporting systems;
- overall accountability practices.

2. Interviews with Chief and Councillors

These interviews are vital to determine the vision of community leaders in terms of priority goals, and what information they expect from a community program performance framework. The interviewer's notes should be carefully maintained to ensure that individuals' opinions are kept confidential. Assurance of confidentiality facilitates frank and open responses.

See Tool #7a: Interview Guide: First Nation Leadership
Page 81

3. Interviews with Program Administrators

Program administrators will be the primary users of performance frameworks on a daily basis. They will use the information they are collecting to evaluate progress towards the expected results. These results will assist them to identify opportunities for improving programs and services. It is critical that program administrators develop a sense of "ownership" of the performance measures they will use, by participating in interviews and providing feedback on proposed performance measures.

See Tool #7b: Interview Guide: Program Administrators Page 84

4. Interviews with First Nation Members

Interviews with a sample of members can ensure that a variety of perspectives are incorporated in frameworks. Elders, youth, women, men, people with disabilities, etc., may have different perspectives on what information they expect to receive on the performance of community programs.

See Tool #7c: Interview Guide: First Nation Members
Page 87

5. Discussion Group

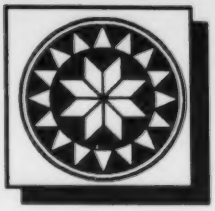
A discussion group can focus on key issues related to the performance framework. The discussion does not have to be highly formal or structured. Its purpose is to assist in defining key priority goals for community, & if possible, appropriate targets for community programs.

See Tool #8: Discussion Guide
Page 89

6. Community Meetings

Community meetings could be used to ask First Nation members what their expectations are for receiving the results of self-evaluations of community programs.

Step 6 **Articulate Community Goals and Program Plans**



Once the key information has been collected, the next step is to analyse it, and to prioritize which community goals should be a focus for performance measurement. The analysis could take into account considerations such as:

- resources available for data collection and reporting;
- community priorities;
- interest in performance measurement; and
- what is feasible.

As discussed in Chapter Two, there are many procedures that can be used to define community goals. Two examples are:

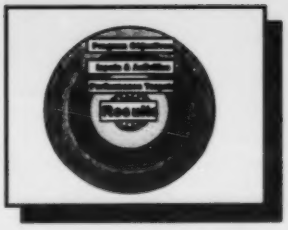
1. **Based on a community "vision:"**

   Develop a holistic vision statement (e.g., "healthy individuals and community," "social and economic self-determination of our people"). Then identify priority goals that flow from this vision, in a few key sectors (e.g., social, economic, environmental, cultural, institutional);

2. **Based on the current program structure:**

   Define the program objectives of major programs (e.g., social, education, housing, capital works, economic development, health, justice). Then group these to state several *overall* priority goals.

Also as discussed in Chapter Two, a **program plan** should be completed for each of the priority goals and/or for each major program activity. This thinking process provides a solid foundation for determining which performance measures are most appropriate. Worksheets to guide the development of program plans and related performance measures are provided in the toolkit.

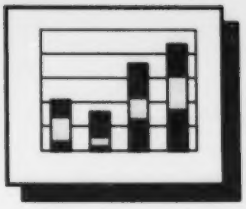


See Tool #9: Worksheets
Page 93

Whichever procedure is used, goals should be:

- driven by Chief and Council to reflect community priorities;
- meaningful and realistic;
- focussed on major responsibilities;
- measurable.

Step 7 Develop Performance Measures



A suggested process for developing performance measures is:

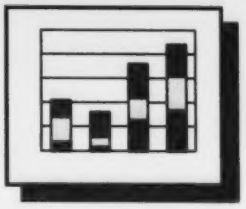
1. Use the information provided from the interviews, document reviews, etc. in step 5;
2. Consider the community goals and program plans established in step 6;
3. List the performance measures currently in use;
4. List potential additional performance measures;

See Tool #10: Ideas for Performance Measures Page 103

5. Screen the measures using criteria such as:
   - ✔ Credible
   - ✔ Useful
   - ✔ Easily Understandable
   - ✔ Attributable
   - ✔ Accurate
   - ✔ Balanced
6. List the remaining measures in order of importance and relevance to the First Nation's priority goals;
7. Examine the limitations and assumptions associated with possible measures;
8. Examine the availability of data to support measures (see step 8 below);
9. Convene a discussion group to examine the feasibility of proposed measures;
10. Select an appropriate number of measures;

11. Write the proposed performance measures in a draft community program performance framework.

Step 8 **Develop Plan for Ongoing Collection of Results-Based Information**



As discussed in Chapter Two, a performance framework specifies what data will be collected, how often, who will do it, and how it will be used. It outlines the key information needs of the First Nation, and how those needs will be met. This is done through a data collection plan.

The plan for ongoing collection of results-based information ensures that everyone involved has the same understanding of what is to be measured and who will measure it. The plan can also address potential training for individuals who will collect the data, to ensure consistency.

The key elements of a data collection plan, and a hypothetical example are provided in the following table.

Plan for Collection of Ongoing Results-Based Information		
Key Question	**Issue**	**Example**
What?	Name of Performance Measure	Successful transition of employable individuals from reliance on social assistance to self-sufficiency
	Definition of measure	Number of employable individuals who successfully shifted from reliance on social assistance to satisfying and sustainable employment, in the previous year
	Context for analysis	- Overall shift of First Nations social assistance program from passive income maintenance to individual case management approach, integrated with all related services - Availability of employment, in part resulting from job creation programs
How?	Units of measure	- Employable individuals who were reliant on social assistance for more than six months in the previous calendar year, who now have employment income that is more than 75% of their total income, which they consider to be satisfying and sustainable
	Calculations required	Number of individuals/year

Key Question	Issue	Example
Where?	Data sources	Interviews with individuals, as recorded in social assistance case management files
	Data storage	Case management summary reports filed in social development office
When?	Frequency of collection	Ongoing from individuals Calculated annually for inclusion in annual report
Who?	Individuals responsible for data collection & compilation	Social development administrator
	Training for data collectors	Social development administrator and assistants will be trained to record this information in case files and summaries

Step 9 Set Performance Targets

Once the program plans, performance measures, and data collection plan have been prepared, the next step is to periodically (annually and/or quarterly) set performance targets.

As noted in Chapter Two, performance targets should:

- express commitments to attain certain results in a specified time period;
- directly reflect the progress to be made toward priority goals;
- be realistic, challenging, but not over-ambitious; and
- be set as part of regular work planning or strategic planning processes.

First Nation leaders and program administrators should be directly involved in determining appropriate performance targets as part of their periodic program planning activities. The following steps can be used as a guide in establishing performance targets:

1. List the set of performance measures that require targets to be set;

See Tool #11: Setting Performance Targets Page 107

2. Determine the current level of performance for each measure, using available data, and the data collection plan. This develops a "baseline" for each measure to help ensure that the targets remain realistically achievable;

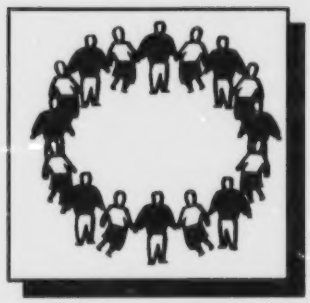
3. Review the goals, activities and priorities of the community and/or program. This will help to highlight areas which should be focussed upon for improvement;

4. Determine the capacity to deliver desired improvements. This will be influenced by human, financial, and organizational or strategic factors. For example, the allocation to the program has been decreased from the previous year the target may be lower than the baseline; and,

5. Research an appropriate level of performance that has been attained in a comparable jurisdiction (i.e., a "benchmark"). With appropriate care, it may be possible to develop targets that make comparisons.

Based on the information which emerges from these steps it will become clearer the extent to which improvements can be made, so that reasonable targets can be set.

Step 10 Develop Reporting System



This step involves setting a standardized system in place for translating performance data into a variety of report formats that will serve the various information requirements of program administrators, the leadership and membership.

Key questions to keep in mind are:

- What level should the data be reported at? (I.e., how many details are relevant to the various users?);
- How can a trend be determined? (I.e., is the trend in the data improving, getting worse, or flat? Statisticians suggest that a minimum of seven data points is required to demonstrate a trend, but this depends on the unit of measurement); and
- How much fluctuation in the level of performance is to be expected? (I.e., are anomalies or dramatic increases adequately explained?)

Two hypothetical samples of written performance reports are on the following pages.

SAMPLE

1999-2000 Performance Report: Housing Program

Community Goal: To provide all community members with adequate housing by2005.

Inputs: The 1999-2000 housing budget was $450,000, including $60,000 in rental payments, $290,000 from DIAND, and $100,000 in CMHC subsidies. In 1998 there were X# of houses meeting normal adequate standards and X# of houses in need of renovation.

Two full-time staff were responsible for maintenance year-round. Eight builders formed the construction crew from May through September. Four youth jcined the crew for July and August.

Activities: House construction, renovation, maintenance, demolition, skills development, and policy and administration.

Our Performance Targets for 1999-2000 were to:

- change housing policy to increase labour input from residents for construction and maintenance;
- build six new houses of good quality that meet national building code standards;
- renovate eight houses to meet normal adequate standards;
- maintain existing housing stock, including maintenance training and support for residents;
- train two journeymen carpenters.
-

Our Achievements in 1999-2000 were:

Outputs:

- new housing policy introduced;
- maintenance cost per house decreased by 5% due to increased labour input from residents;
- existing housing stock maintained at the same level as last year;
- five quality houses built. Anticipated funding to build sixth house was not available;
- nine houses renovated to meet normal adequate standards.

Outcomes:

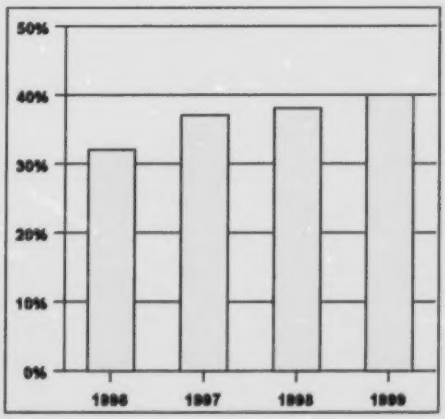
- new housing policy fully supported by members;
- 20% fewer members living in inadequate housing;
- average number of residents per house dropped from X to Y;
- increase in number of insured homes.

Key Success Factors:

- full support of members for new housing policy;
- funding for new housing will need to increase by 10% to meet our goal in 2005.

SAMPLE

1999-2000 Performance Report:

COMMUNITY GOAL: ECONOMIC DEVELOPMENT	PERFORMANCE
Our economic development vision is to develop and attract new businesses in our community. Our objectives are to: • increase employment of members; • increase the number of community businesses; • access new investment; • sustain existing jobs where appropriate; • support young people to develop business skills.	Last year we met our objectives in the following ways: • increase in number of members working, as a percent of available workforce; • 4 new businesses; • supported eight local businesses to get access to new investment; • increase in jobs in forestry sector; • youth skills training program launched
PERFORMANCE MEASURE: EMPLOYMENT RATE	**ANALYSIS**
 The number of people employed as a percentage of available workforce has increased from 32% in 1996 to 40% in 1999.	The number of members available to work has increased in recent years due to: • growth of community population; • social assistance recipients who have upgraded their skills and are now looking for work. Most new jobs have been due to growth in the forestry industry, including 18 new jobs in the First Nation forestry business. Some jobs have been lost in other off-reserve industries. A major barrier is accessing capital investment to expand existing businesses, and to create new ones. The strategy to increase investment and access to markets is outlined in the First Nation "Business Plan."

Step 11 Draft Performance Framework

Step 11 Draft Performance Framework

This step pulls together all the steps from Phase II into a full report on the framework. The draft framework could include elements such as:

- executive summary;
- purpose of project;
- key information needs of First Nation members, leadership and program administrators;
- description of the consultation process used in developing the performance framework;
- community goals;
- program plans (program objectives, inputs and activities, and desired results in terms of

outputs and outcomes);
- proposed performance measures;
- proposed plan for ongoing collection of results-based information;
- initial performance targets;
- proposed reporting system; and
- process for finalizing the performance framework.

Phase III: Implementation

Step 12 Consultation and Finalization of the Draft Framework

Once the draft framework has been shared within the First Nation, there may be opportunities to bring people together to discuss it. The goal of these discussions would be to ensure that the framework will meet their information needs, as much as possible within the constraints of time and available resources.

Consultations on the framework should serve to further a sense of "ownership" of the framework among those who will use it. The greater the sense of ownership, the more useful, accurate, reliable and balanced the performance measures will be.

Finally, the more that a performance framework becomes a meaningful, "living" document the more it will become a cornerstone for a First Nation's strategic program planning.

Step 13 Implementation

Implementation follows the structure provided by the performance framework's **plan for ongoing collection of results-based information** and **reporting system**. Implementation should also include any additional training which may be required for program administrators and staff.

It is important to note that the transition to more results-based management and accountability may take several years. Sustained commitment from the First Nation leadership and administration is vital for the framework to deliver the benefits discussed in Chapter One.

As with any change, some people feel threatened by a new emphasis on performance. They may feel that failure to achieve results would jeopardize their professional or personal credibility. It is up to the leadership and administration to provide reassurance that performance measurement will be used in a way that is positive, not punitive. Leaders and administrators can demonstrate this by consistently using performance results - whether positive or negative - to empower First Nation administrators to find innovative ways to improve community programs.

Ultimately, the framework itself should serve as a useful tool for maintaining a productive focus on community goals and results. The promise of this commitment is the continuous improvement of community programs.

4. Toolkit

This toolkit provides a set of optional tools to assist First Nations in developing their own approaches to evaluating how well community programs are achieving community goals.

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Tool #1: Roles and Responsibilities

What is it?	This tool lists potential roles and responsibilities for the people involved in developing a First Nation's community program performance framework.
Why?	Clear roles and responsibilities are critical for success of the project.
How?	Under direction of Chief and Council, these suggested roles and responsibilities can be adapted as appropriate.

Chief and Council

Chief and Council are at the centre of decision-making about the community program performance framework. Sustained commitment from the leadership is essential for development of a performance framework that works for the First Nation.

Chief and Council may undertake the following responsibilities:

- appoint a Steering Committee and Project Coordinator to manage the process;
- approve the Terms of Reference, which defines what the project is and how it will be carried out;
- communicate with First Nation members;
- approve the Steering Committee's selection of a consultant;
- participate in interviews about the First Nation's priority goals to be measured;
- review draft and final versions of the performance framework to ensure that it accurately reflects the priorities of the First Nation government;
- approve the performance framework;
- provide ongoing support for performance measurement and reporting to First Nation members.

Project Coordinator

The role of the Project Coordinator is to manage the process to develop the First Nation's community program performance framework. The Project Coordinator has overall responsibility for carrying out the project, in consultation with the Steering Committee. This may include the following tasks, some of which may be delegated as appropriate:

Phase I: Project Planning and Organization:

- convene regular meetings of the Steering Committee;
- periodic meetings with Chief and Council;
- develop project Terms of Reference for approval by Chief and Council;
- prepare a project schedule, budget, and communications materials;
- prepare a statement of work to guide the work of a consultant;
- hire a consultant;
- assist the consultant to prepare a consultation plan.

Phase II: Framework Development:

- facilitate and supervise the consultant's work;
- organize and participate in interviews, discussion groups, etc.;
- distribute draft performance framework for discussion.

Phase III: Implementation

- consult on the draft framework as appropriate;
- seek approval of framework from Chief and Council;
- provide ongoing advice and support for implementation of the framework.

Project Steering Committee:

The Steering Committee should be of a manageable size (3 to 4 people is recommended), and meet on a regular basis (e.g., every two weeks for the duration of the project). It is important that the steering committee develop a good understanding of the project.

Potential Steering Committee members include:

- a councillor representing Chief and Council;
- a program administrator representing the First Nation administration;
- the project coordinator; and,
- one other member representing community or other interests.

The roles of the Steering Committee include the following:

- giving input into the project Terms of Reference;
- assisting in the development of the project plan;
- ensuring that the Statement of Work accurately reflects the project plan;
- selecting the consultant;
- reviewing all of the deliverables which are produced by the consultant and making amendments to ensure that the community program performance framework is appropriate for the First Nation;
- assist in communicating within the First Nation about the purpose of the project and the progress being made.

Community Members

Community members may participate directly in interviews, discussion groups, community meetings, and/or providing feedback on the draft community program performance framework.

Tool #2: Terms of Reference

What is it?	The Terms of Reference is a document which gives a brief overview of the project to be conducted, including the purpose, scope and general parameters.
Why?	The Terms of Reference helps to ensure that everyone involved is in agreement on the purpose of the project and how it is going to be conducted. In addition, it provides a template which can be used to keep the project on track.
How?	The following tool includes brief description of the sections which may be included in the Terms of Reference. It is important that Chief and Council agree to the Terms of Reference and sign it before work on the project commences in order to ensure that the project will be relevant to their information needs.

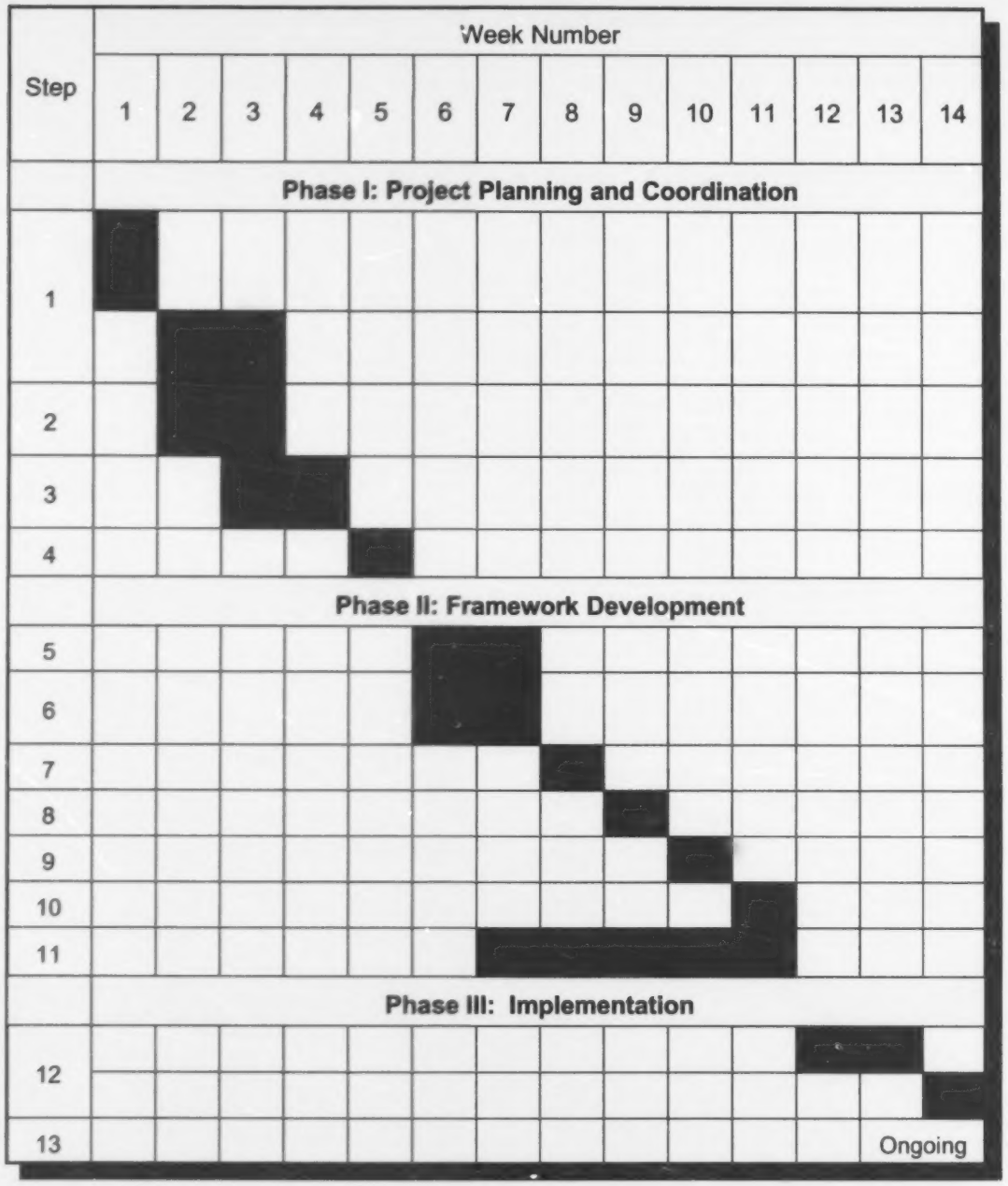
To assist in writing a Terms of Reference, the following headings and content may be considered:

- Background: *this section includes background information on the First Nation and why it is developing a community program performance framework.*
- Purpose: *this section describes the purpose of the framework, i.e., how it will support effective program management and accountability.*
- Scope: *this section describes the parameters of the project, such as the key programs that will be focussed on.*
- Results: *this section describes the results which are expected from the project, such as:*
  - *a performance framework which reflects our First Nation's own approach to performance measurement and accountability;*
  - *a performance framework which is useful to us in managing programs and being accountable for results;*
  - *a performance framework which focuses on our priority goals and clearly describes appropriate performance measures, data collection, performance targets and a reporting system.*
- Approach: *this section describes the way in which the project will be conducted, in terms of who will participate, and what process will be followed.*
- Timeframe & Resources: *this section indicates the approximate date when the framework is to be completed, and the estimated cost.*
- Approved by: *this section is where the Chief and Council indicate their agreement on the project by signing the Terms of Reference.*

Tool #3: Workplan

What is it?	A workplan is a schedule of the activities which are to be conducted in the course of the project. It includes estimates of the time necessary to complete each project component.
Why?	A workplan is useful because it clarifies all of the steps involved with the development of the framework, and ensures that all participants are in agreement on the time lines.
How?	The following workplan is provided as an example which may be adapted as appropriate.

Step	Task	People Involved					
		Lead-ership	Steer-ing Commit lee	Project Coor-dinator	Cons-ultant	Program Administr ators	Mem-bership
Phase I: Project Planning and Coordination							
1	Chief and Council Meeting - identify Project Coordinator - establish Steering Committee	✓	✓	✓			
	Develop Terms of Reference - approval by leadership	✓	✓	✓			
2	Develop Workplan, Budget, and Communications Plan		✓	✓			
3	Prepare Statement of Work - engage a Consultant		✓	✓			
4	Develop Consultation Plan		✓	✓	✓		
Phase II: Framework Development							
5	Gather Information	✓	✓	✓	✓	✓	✓
6	Articulate Community Goals and Program Plans	✓	✓	✓	✓	✓	
7	Develop Performance Measures		✓	✓	✓	✓	
8	Develop Plan for Data Collection		✓	✓	✓	✓	
9	Set Performance Targets	✓	✓	✓	✓	✓	
10	Develop Reporting System	✓	✓	✓	✓	✓	
11	Draft Performance Framework		✓	✓	✓		
Phase III: Implementation							
12	Consultation on Draft Framework	✓	✓	✓	✓	✓	✓
	Finalize & Approve Framework	✓	✓	✓	✓		
13	Implementation	✓				✓	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Phase I: Project Planning and Coordination
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Phase II: Framework Development
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Ongoing

Tool #4: Statement of Work

What is it?	The Statement of Work provides instructions to the consultant on what they are to do and deliver.
Why?	The Statement of Work is a tool for managing the consultant's work to ensure that it will meet the First Nation's requirements.
How?	The following detailed Statement of Work serves as an example, to be completed and amended as appropriate.

1. Background

Chief and Council of our First Nation have identified the need to develop a community program performance framework. Our First Nation wishes to develop a performance measurement framework as an internal program management and accountability tool. The framework will reflect our unique First Nation practices, traditions, goals and priorities. The process to develop the framework will be driven by our First Nation to meet our requirements for good performance information. The process to develop the framework will involve extensive participation of our First Nation leadership, administration and members as appropriate, so it will be useful, relevant and practical.

Part of the impetus for this project comes from the national level Working Group which was initiated in 1998 by several First Nations from across Canada, in a partnership approach with DIAND. This Working Group developed *First Nation Self-Evaluation of Community Programs: A Guidebook on Performance Measurement* which serves as a reference for the project.

2. Objectives

The purpose of this project is to develop a community program performance measurement framework which our First Nation can use:

- to focus on community goals;
- to monitor progress toward goals;
- to identify opportunities for making improvements;
- to report to First Nation members on the results achieved;

3. Approach

A Steering Committee is responsible for directing this project, in full consultation with Chief and Council. The day-to-day management of the project will be carried out by the Project Coordinator. This project will be undertaken using a multi-step approach, as described in the *Guidebook*. The consultant will work on steps four through twelve as described in Chapter Three of the *Guidebook*. A separate contract would be used in the event that the consultant is called upon to support ongoing implementation of the framework.

The project will utilize multiple lines of inquiry in order to develop the community program performance framework, including: document reviews of relevant information; interviews with First Nation leaders, administrators, and members; discussion groups and community meetings.

4. Scope of Work

The consultant shall perform the following activities:

1. Upon signing the contract, attend an orientation meeting with Chief and Council and the project Steering Committee;

2. Review all background material provided by the project Steering Committee. This will include:
   - information on the community;
   - information on First Nation programs and services;
   - *Guidebook on Performance Measurement*
   - other material which the Steering Committee considers relevant.

3. Phase I - Project Planning and Organization:

   3.1 In consultation with the Steering Committee and with the aid of the *Guidebook* develop a detailed consultation plan. The consultation plan will lay out which stakeholders will be involved in development of the performance framework. It also defines what questions will be asked of each the various stakeholders. As part of the consultation plan, the consultant will draw from the various interview, document review and discussion guides in the *Guidebook* and adapt them as appropriate to gather information which is relevant to our First Nation context.

   3.2 Attend a meeting of the Steering Committee to review and finalize the consultation plan.

4. Phase II - Framework Development:

4.1 Collect information as outlined in the consultation plan, including:

Activities:	Potential Number: *(Insert number:)*
• Program administrator interviews	____
• First Nation Leadership interviews	____
• First Nation members	____
• Document review	____
• Discussion groups	____
• Community meetings	____

4.1.1 Interviews

Interviews will be undertaken with a selection of program administrators, First Nation leaders, and members as specified in the consultation plan.

4.1.2 Document review

A document review shall be conducted to consider the current performance measures, data collection and overall accountability practices of our First Nation. Documents to be reviewed include:

- recent reports of the First Nation government;
- program planning documents;
- policies and procedures;
- program activity information;
- program resource allocations;
- computerized databases for recording performance data;
- meeting minutes;
- any other information as directed by the Steering Committee.

4.1.3 Discussion Groups

The consultant shall facilitate discussion groups to obtain input on the framework and to obtain feedback on the feasibility of proposed performance measures and the draft performance framework.

4.1.4 Community Meetings

The consultant may be asked to attend community meetings at which the community program performance framework is presented and discussed with First Nation members.

4.2 Prepare a summary of the information collected, in the form of "findings" and attend a Steering Committee to discuss these findings.

4.3 Develop and submit a draft Community program Performance Framework based upon the findings from interviews, document review, discussion groups and community meetings. It should address the following, as outlined in the *Guidebook*:

- executive summary;
- purpose of project;
- key information needs of First Nation members, leadership and program administrators;
- description of the consultation process used in developing the performance framework;
- community goals;
- program plans (program objectives, inputs and activities, and desired results in terms of outputs and outcomes);
- proposed performance measures;
- proposed plan for ongoing collection of results-based information;
- initial performance targets;
- proposed reporting system; and
- process for finalizing the performance framework.

4.4 Attend a Steering Committee meeting to receive comments and feedback on the draft Framework.

4.5 Submit a final version of the Community program Performance Measurement Framework, incorporating the comments and direction provided by the Steering Committee.

5. Deliverables

The consultant shall provide the following deliverables, according to the schedule to be agreed upon by the Consultant and the Steering Committee:

	% of contract to be paid on receipt of deliverable:
1. A consultation plan and guides for information gathering step	10%
2. A summary of the findings from the information gathering step	30%
3. A draft Results Based Performance Framework	30%
4. A final version of the Community program Performance Framework, incorporating the comments and direction provided by the Steering Committee	30%

6. Contract Duration

The contract work shall commence upon signing, and shall be completed by *(insert date)*.

7. Budget

The total value of this contract is *(insert $,000)*.

Tool #5: Consultation Plan

What is it?	A consultation plan lays out how the various stakeholders will be involved in development of the performance framework. It also identifies what questions will be asked of each the various stakeholders
Why?	It ensures that the necessary information will be collected.
How?	The first part of a consultation plan is the sample of who will be consulted. The second part is a list of who will be asked which questions. A sample plan is provided.

Sample of Who Will be Consulted and Documents to be Reviewed

Activity		Type	Number	Names
Interview	First Nation Leadership	Chief		
		Councilors		
		Others (e.g., Elders)		
	Program Administrators	Chief Administrative Officer		
		Program Managers		
		Program Staff		
	First Nation Membership	Representatives of groups (e.g., Elders, Youth, Women, Disabled)		
		Others		
	Others	(e.g., representatives of other service-delivery organizations)		
Discussion Group		(Participants will depend on the nature of the discussion group)		
Community meeting				
Document Review		Recent First Nation reports		
		Program planning documents		
		Policies and procedures		
		Program resource allocations		
		Computerized databases for recording performance data		
		Meeting minutes		
		Other		

Overview of Questions to be Asked

Note: A check indicates who will be asked which questions.

	Document Review	Leadership	Program Administrators	Members	Discussion Group	Community Meeting
GOALS & PRIORITIES						
Priority goals of the First Nation	✓	✓	✓	✓	✓	✓
PROGRAM INPUTS, ACTIVITIES & OUTPUTS						
Organization structure, portfolio responsibilities, program activities, resources allocated to programs	✓					
What programs are you responsible for?		✓	✓			
Main activities of program staff			✓			
Program clients			✓	✓		
Main outputs/products/services delivered	✓	✓	✓			
Priority of programs in terms of performance measurement		✓	✓	✓	✓	✓
DESIRED OUTCOMES						
Desired impacts (short term) of each program	✓	✓	✓		✓	
Desired outcomes (long term) of each program	✓	✓	✓		✓	
PERFORMANCE MEASURES						
Key items you would need to know that the program is successful in terms of its outputs		✓	✓		✓	
Key items you would need to know that the program is reaching its outcomes		✓	✓		✓	

	Document Review	Leadership	Program Administrators	Members	Discussion Group	Community Meeting
Key items which would measure the overall well-being of our community		✓	✓			
DATA COLLECTION						
Data currently collected on program inputs, outputs and outcomes	✓		✓			
Additional data that should be collected to assist with managing the program		✓	✓			
REPORTING						
Current reporting mechanisms	✓	✓	✓	✓		
Adequacy of current reporting mechanisms				✓	✓	✓
Expectations about receiving program performance reports				✓	✓	✓
Performance measures that should be used to account for program results		✓	✓	✓	✓	
ACCOUNTABILITY						
Customs/traditions for accountability within the First Nation	✓	✓	✓	✓		
Current accountability mechanisms	✓	✓	✓	✓		
Adequacy of current accountability mechanisms		✓	✓	✓	✓	✓
Enhancement of current accountability mechanisms		✓	✓	✓	✓	✓

Tool #6: Document Review Guide

What is it?	A document review is a detailed examination of written and computerized information.
Why?	To better understand current performance measurement activities.
How?	The reviewer would answer all the questions in this guide.

Goals and Priorities

1. Are there any statements in the documents which provide evidence of First Nation community goals?

Type of document	Summary of Statements

Program Objectives, Inputs and Activities

2. What is the organization structure of the First Nation administration? What are the portfolio responsibilities of Chief and Councilors?

3. What are the main program activities?

Type of document	Program	Activities

4. What are the stated objectives of the various programs?

Type of document	Program	Objectives

5. What resources (human, financial, capital) are allocated to each program?

Type of document	Program	Resources Allocated

Desired Outputs and Outcomes

6. What products and services are delivered by each program? What are the desired short, medium, and long-term outcomes expected from each program?

Type of document	Program	Outputs and Outcomes

Data Collection

7. What data on program inputs, outputs and outcomes is currently being collected? What is the frequency of data collection? How reliable is past data?

Type of document	Program	Data collected	Frequency	Reliability

Reporting

8. What are the current mechanisms for reporting on program activities and results? How often does reporting occur?

Type of document(s)	Program	Reporting mechanisms	Frequency

Accountability

9. Is there any evidence of the customs/traditions for accountability within the First Nation?

10. What accountability mechanisms are currently in place?

Tool #7: Interview Guides

What is it?	An interview guide is a questionnaire to be completed in a face-to-face interview.
Why?	Using a consistent set of questions for the interviews helps to produce more consistent and reliable information.
How?	The guide can be given to the interviewee prior to the interview, so they know what questions will be asked. Different guides are appropriate for different types of interviewees. Three sample guides are provided, for interviews with the First Nations leadership, program administrators, and membership.

Interview Guide: First Nation Leadership

Background Information:

Respondent Name: _____

Respondent Title: _____

Date and Time: Interviewer:

Introduction

This interview is part of a project to develop a First Nation's Community Program Performance Framework. The purpose of this interview is to contribute toward development of measurement tools that will assist in the effective management of community programs and demonstrate accountability to community members.

Goals and Priorities

1. In your view, what are the First Nation's priority goals?

Program Activities and Outputs

2. What First Nation community programs are you responsible for overseeing? *(Please include all programs and program sub-components.)*

3. For each program, what are the main outputs, (i.e., products or services) delivered by the First Nation government?

4. Which programs do you consider to be priorities in terms of performance measurement?

Desired Outcomes

5. For each program, what real impact is it expected to have in the short term?

6. For each program, what intended outcomes are expected in the long term?

7. In your view, to what extent are these expectations being achieved?

Data Collection

8. Is there any additional data that you would like to have in order to better oversee the program?

Performance Measures

9. For each program, what key information would you need in order to assess the delivery of outputs/products/services? (For example: efficiency and quality measures).

10. For each program, what key information would you need in order to know whether it is successfully achieving its objectives? (For example: impact data).

11. In your opinion, what measures would be useful to determine the overall well-being of our community?

Reporting

12. What information on program achievements is currently reported to First Nation members? How is it reported (e.g., community meeting, annual report, newsletter, etc.)?

13. In your opinion, which measures of performance should be used in order for the First Nation leadership to report to First Nation members on the achievements of community programs?

Accountability

14. What are the customs/traditions for accountability within the First Nation?

15. What accountability mechanisms are currently in place?

16. In your opinion, are these current accountability mechanisms adequate? How could they be improved?

17. Do you have any additional comments?

Thank you for participating in this interview.

Interview Guide: Program Administrators

Background Information:

Respondent Name: _____

Respondent Title: _____

Date and Time: Interviewer:

Introduction

This interview is part of a project to develop a First Nation's Community Program Performance Framework. The purpose of this interview is to contribute toward development of measurement tools that will assist in the effective management of community programs and demonstrate accountability to community members.

Goals and Priorities

1. In your view, what are the First Nation's priority goals?

Program Activities and Outputs

2. What First Nation government programs do you administer/manage? *(Please include all programs and program sub-components.)*

3. For each program, what are the main activities?

4. For each program, who are the main intended beneficiaries/clients? *(Please be as specific as possible)*

5. For each program, what are the main outputs, (i.e., products or services) delivered?

6. Which of these programs do you consider to be priorities in terms of performance measurement?

Desired Outcomes

7. For each program, what real impact is it expected to have in the short term?

8. For each program, what intended outcomes are expected in the long term?

9. In your view, to what extent are these expectations being achieved?

Data Collection

10. For each program, what data is regularly collected?

11. Is there any additional data that you would like to have in order to better administer/manage the program?

12. What would you say are the most important types of information that the First Nation government needs for overall management and accountability purposes?

Performance Measures

13. For each program, what key information would you need in order to assess the delivery of outputs/products/services? (For example: efficiency and quality measures).

14. For each program, what key information would you need in order to know whether it is successfully achieving its objectives? (For example: impact data).

15. In your opinion, what measures would be useful to determine the overall well-being of our community?

Reporting

16. What information on program achievements is currently reported to First Nation members? How is it reported (e.g., community meetings, annual reports, newsletters, etc.)?

17. In your opinion, is this information sufficient for the First Nation government to be accountable to its members for the results achieved by programs?

18. Which measures of performance should be used for the First Nation leadership to report to First Nation members on the achievements of community programs?

Accountability

19. What are the customs/traditions for accountability within the First Nation?

20. What accountability mechanisms are currently in place?

21. In your opinion, are these current accountability mechanisms adequate? How could they be improved?

22. Do you have any additional comments?

Thank you for participating in this interview.

Interview Guide: First Nation Members

Background Information:

Respondent Name: _____

Respondent Title: _____

Date and Time: Interviewer:

Introduction

This interview is part of a project to develop a First Nation's Community Program Performance Framework. The purpose of this interview is to contribute toward development of measurement tools that will assist in the effective management of community programs and demonstrate accountability to community members.

Goals and Priorities

1. In your view, what are the most important goals that you want our First Nation to achieve?

Desired Outcomes

2. Which programs delivered by our First Nation government have the greatest impact on you and the community?

Reporting

3. As a First Nation member, do you currently receive information on program achievements through:

	Receive	Don't receive
Community meetings?	❑	❑
Written reports? *(Please specify below)*	❑	❑
_____		
_____		
Other sources? (Please specify below)	❑	❑
_____		
_____		

4. Of those which you do receive, do you find the information to be sufficient? (i.e., is the information accessible/easy to understand?).

	Yes	No
Community meetings?	❑	❑
Written reports? *(Please specify below)*	❑	❑
_____	❑	❑
_____	❑	❑
_____	❑	❑
Other sources? (Please specify below)	❑	❑
_____	❑	❑
_____	❑	❑
_____	❑	❑

5. What additional information, if any, would you like to receive?

Accountability

6. What do you consider to be our First Nation customs and traditions to ensure accountability?

7. Do you think that current accountability mechanisms are adequate? How could they be improved?

8. Do you have any other comments?

Thank you for participating in this interview.

Tool #8: Discussion Groups

What is it?	A discussion group is a gathering of a small group of people for participation in a consensus building conversation. These groups stimulate discussions on specific topics, and are useful for gathering balanced and detailed input from a variety of people with different perspectives.
Why?	Discussion groups encourage innovative thinking and consensus building. A discussion guide often helps direct the group. The guide focuses the discussion onto specific topics to ensure that the relevant information is obtained.
How?	This tool contains a series of tips for conducting discussion groups and provides an example of a discussion guide.

Tips on Conducting Successful Discussion Groups

- Discussion groups are generally more successful if they are limited to a small number, for example, between 6 and 8 participants, including the moderator;
- The goal should be to reach consensus on among group members;
- There should be someone in charge of leading or moderating the discussion group. This person should: ensure that all relevant topics are covered in the discussions, ensure that the less prominent speakers have sufficient opportunities to voice their opinions, and help record the results of the session;
- There should also be a person in charge of taking notes from the discussions. The note-taker should not be the same person as the moderator;
- At the outset of meeting it is important that the general purpose and the overall approach for the discussion be explained to all participants;
- Each person should be encouraged to participate in the discussions and to voice his/her opinions;
- Flip charts can be useful for identifying key observations;
- Refreshments could be provided at break-time if desired.

Discussion Group Guide

1. **Welcome and Introductions** (approx.15 minutes)

   The session will open with greetings and brief messages from one of the project Steering Committee members, the project coordinator, and the discussion group moderator. Comments could include: "The objective of the discussion group is to gather the participants' views on measuring the performance of community programs in meeting our First Nation goals."

2. **Which Community Goals should be Measured?** (approx. 90 minutes)

   Questions: Our First Nation provides a variety of programs and services to the community. What are the objectives of these programs? For which community goals should performance measures be developed?

   The goal here is to get each participant's perspective on prioritizing programs, and defining the program goals.

3. **Refreshment Break** (approx. 15 minutes)

4. **Performance Measures** (approx. 90 minutes)

   Questions: For the main programs under discussion, what performance measures would accurately measure program successes? Where would the data come from? Is the data already collected or would there be a need for new data collection?

   Question: At the community level, what measures would be useful to determine the overall well-being of our community?

5. **Wind-Down** (approx. 10 minutes)

   In light of the preceding discussion, each participant will be asked to summarize his or her key message as to community goals to be measured, and potential performance measures to be considered.

(Other potential topics which could be dealt with by discussion groups include:
- *adequacy of current mechanisms for reporting to members on program results;*
- *expectations about receiving reports from the First Nation government; and*
- *adequacy of current accountability mechanisms and areas for improvement*).

Tool #9: Sample Worksheets

What is it?	This tool presents four worksheets for linking community goals to program activities, desired results and performance measures, using the key elements of the program plan (or logic model) shown below.
Why?	Demonstrating the logical linkages between goals and measures increases their relevance and validity.
How?	These worksheets show a "brainstorming" exercise to arrive at potential measures. As described in Step 7 in the *Guidebook*, the next thing to do would be to screen these potential measures against the criteria of good performance measures, to settle on a small number that are manageable. Four blank worksheet templates are also provided.

Program Plan (Logic Model)

Worksheet

Worksheet 1: Community Goals and Program Objectives

First Nation Community Goals:
To improve the health status of individuals
Strong community and family support systems
Improved quality of life for First Nation members through rehabilitation, skills acquisition, and temporary to sustainable employment or valued contributions to the community
Respect for cultural values
Other priority goals

Programs related to: **"Improved quality of life for First Nation members through rehabilitation, skills acquisition, and temporary to sustainable employment or valued contributions to the community"**
The objective of the economic development program is to increase sustainable employment opportunities for members through business development and other advancements.
The objective of the post-secondary education program is to provide as many First Nation members as possible with education opportunities to enhance their employability and potential contribution to our community.
The objective of the social assistance program is to provide an effective social safety net in which employable individuals are provided with a "hand up," not a "hand out," to increase self-reliance through access to skills acquisition and employment, including valued contributions to the community
The objective of the forestry program is to manage forest resources for environmental sustainability and to provide employment opportunities for First Nation members.
Other related program objectives

(See Worksheet 2)

Worksheet

Worksheet 2: Program Inputs, Activities and Desired Results

Program Activities & Inputs for: **Social Assistance Program**		
Activities	**Inputs**	
	Financial Resources	Human Resources
Delivering income support payments for eligible unemployable adults	$	# person years
In-home counselling to develop family support networks for unemployable adults	$	# person years
Participation in skills acquisition activities by employable adults on social assistance	$	# person years
Daycare services for children of employable adults who are in training or job placement	$	# person years
Rehabilitation programs to support individuals with drug and alcohol problems to get back into the workforce	$	# person years
Other related program activities	$	# person years
	total	total

Desired Program Results for: **Participation in skills acquisition activities by employable adults on social assistance**	
Intended Outputs	**Intended Outcomes**
Participation of employable adults in skills-upgrading courses and job placements	Increased employability
Services tailored to individual needs through case management, or integrated delivery of all related programs	Successful placement in sustainable employment
	Sufficient increased employment income to permit self-reliance

(See Worksheet 3)

Worksheet

Worksheet 3: Performance Measures

Performance Measures for: **Participation in skills acquisition activities by employable adults on social assistance**	
Desired Results (Outputs + Outcomes)	**Potential Performance Measures to Choose From**
Participation in skills-upgrading courses and job placements by employable adults on social assistance	Proportion of employable adults participating per year
Services tailored to individual needs through case management, or integrated delivery of all related programs	Proportion of participants who are "satisfied" or "very satisfied" with the quality of service provided Client satisfaction with quality of service provided Client satisfaction with the set of services Evidence of coordination between agencies (e.g., referrals)
Increased employability	Self-rated level of skills acquired
Successful placement in temporary to sustainable employment	Proportion of participants who secure employment in 12, 24 and 36-month periods following participation in skills-upgrading courses and job placements
Sufficient increased employment income to permit self-reliance	Ratio of current to previous income Proportion of employable adults dependent on social assistance

(See Worksheet 4)

Worksheet

Worksheet 4: Data Collection

Data Collection for: **Participation in skills acquisition activities by employable adults on social assistance**	
Data that Would Need to be Collected	**Data Sources**
Number of potential employable adults receiving social assistance	Social assistance program files and census information
Number of employable adults participating in training programs	Records and documentation of training programs
Number of employable adults receiving social assistance who participated for more than 12 weeks in skills acquisition activities in the previous year	Annual summary report of social assistance case management files
Information such as participant's self-rating of the level of skills they have acquired as a result of their participation and their perceptions of the courses or placements	Voluntary and confidential exit survey given to all participants following meeting with case worker
Number of part- or full-time jobs secured by participants in 12, 24 and 36 month periods	Annual follow-up interview with former participants
Information on amount and source of weekly income in previous time period and current weekly income	Annual follow-up interview with former participants

Worksheet

Worksheet 1: Community Goals and Program Objectives

First Nation Community Goals:

Programs Related to First Nation Priorities

Worksheet

Worksheet 2: Program Inputs, Activities and Desired Results

Program Activities & Inputs		
Activities	**Inputs**	
	Financial Resources	Human Resources

Desired Program Results	
Intended Outputs	**Intended Outcomes**

Worksheet

Worksheet 3: Performance Measures

Performance Measures	
Desired Results (Outputs + Outcomes)	**Potential Performance Measures to Choose From**

Worksheet

Worksheet 4: Data Collection

Data Collection	
Data that Would Need to be Collected	**Data Sources**

Tool #10: Ideas for Performance Measures

What is it?	This tool lists some ideas for performance measures that have been put forward for consideration by First Nations. Many of these measures were first suggested by the project on *Using Development Indicators for Aboriginal Development*, 1991. Some new measures have been added, particularly the measures of health which are drawn from up-to-date population health studies.
Why?	These are intended to stimulate thought, and to encourage First Nations to develop measures which are tailor-made to their own priorities.
How?	The list can be a reference during the process of developing new measures.

Social Well-Being	
• skills level and employability • quality and range of social services available • number of individuals dependent on income maintenance programs • expenditure on social programs • number living in inadequate housing • unemployment patterns	• life expectancy at birth • % of population below poverty line • number of children in agency care • client satisfaction with delivery of social services • quality of services for disabled individuals
Health	
• self-rated health status • number of individuals with long-term activity limitation • disability days per year • work injuries • incidence of disease by type • birth and death rates	• quality of the physical environment • living and working conditions • personal health practices and coping skills • health care services available • health services expenditures per incidence of disease
Education	
• level of education attainment • retention rate by school level • proportion of youth enrolled in school • literacy rate by age and sex • student:teacher ratio by level	• types of educational services • availability of books/libraries • school completion rate • public spending per student • destination of graduates

Economy	
• average annual income • sources of income • employment/unemployment rates by age group • employment on- and off-reserve • employment by industry • average income by industry • ratio of part-time:full-time employment • ratio of seasonal:permanent employment	• destination of graduates of training and job placement programs • loans:assets ratio • size of off-reserve leakages • % of production exported off-reserve • growth rate of small businesses • # jobs per capita • investment by industry • taxation revenues • average hourly wages
Culture	
• language retention • # social clubs and associations • ratio of mainstream:traditional cultural activities • traditional economic activities • use of traditional foods by type • elder participation in activities	• availability of native teachers • hours of cultural teaching provided per student • number of cultural events • availability of books in native language • use of traditional medicine by category

Tool #11: Setting Performance Targets

What is it?	This tool presents a blank worksheet template to assist in the development of realistic, challenging, and not over-ambitious performance targets.
Why?	It is important to consider factors which might influence performance, so that expectations are reasonable.
How?	These worksheets can be used in a workshop or small group setting to discuss appropriate targets for each program.

Worksheet

Worksheet: Setting Performance Targets

1. List the performance measures that require targets to be set.

2. What data is available on the current level of performance?

3. What are the main program priorities?

Worksheet

4. What factors will influence the current capacity to deliver results?

Human: Financial: Organizational or Strategic factors:

5. What are the current levels of performance in comparable jurisdictions/similar communities?

6. Proposed Target

Level of output/performance: Timeframe:

Tool #12: References

Auditor General of Canada, *Study of Accountability Practices from the Perspective of First Nations*, OAG, 1996.

Auditor General of Canada, *Moving Toward Managing for Results*, OAG, 1997.

Auditor General of Canada and Treasury Board Secretariat of Canada, *Modernizing Accountability Practices in the Public Sector: Discussion Draft*, OAG, 1998

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Development Indicator Steering Committee, *Using Development Indicators for Aboriginal Development*, DIAND, 1991

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